Unlocking the Interlibrary Loan Code for the United States

Presented by...

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On behalf of the ALA RUSA STARS
Codes, Guidelines, and Technical Standards Committee

July 19, 2016
Purpose

• To establish principles that facilitate the requesting of material by a library and the provision of loans or copies in response to those requests.

• To regulate the exchange of material between libraries in the United States.
3. Material Which Should Not be Applied for

(Practice will vary according to the nature of both applicant and lender.)
Current fiction; any book requested for a trivial purpose, or which is available in other libraries more readily accessible to the applicant; also, if applying to a public library, current publications that can readily be purchased and for which there is a natural demand in a public library.

12. Responsibility of Borrower

The borrowing library must assume complete responsibility for the safe-keeping and due return of all material borrowed.

13. General Provisions and Suggestions

Disregard of any of the foregoing rules, injury to books from use, careless packing, or detention of books beyond the time specified for the loan, will be considered good ground for declining to lend in future.

*The graduate student who has a thesis to prepare stands midway between these two extremes. It is often taken for granted that the needs of the graduate student should be met, as a matter of course. But it would seem at least equally reasonable that the graduate student should choose his subject of study largely according to the means he has at hand. Not that he should be prevented from making use of an occasional inter-library loan, but that his choice of a subject ought not to be such as to involve securing a large part of his material from a distant library.
Interlibrary Loan Code for the United States


Download:
ILC Code with Supplement (Printable PDF)
ILC Request Form (Fillable PDF)

For more detailed information about the provisions of this code, please see the accompanying Explanatory Supplement.

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Definitions
Purpose
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Responsibilities of the Requesting Library
Responsibilities of the Supplying Library

Introduction

The Reference and User Services Association, acting for the American Library Association in its adoption of this code, recognizes that the sharing of material between libraries is a core library service and believes it to be in the public interest to encourage such an exchange.

In the interest of providing quality service, libraries have an obligation to obtain material to meet the informational needs of users when local resources do not meet those needs. Interlibrary Loan (ILL), a mechanism for obtaining material, is essential to the vitality of all libraries.

http://www.ala.org/rusa/resources/guidelines/interlibrary
Structure

Requesting Library

Supplying Library
Interlibrary Loan Code for the United States Explanatory Supplement

For use with the Interlibrary Loan Code for the United States (2016)

Download:
- ILL Code with Supplement (Printable PDF)
- ILL Request Form (Fillable PDF)

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This Explanatory Supplement is intended to amplify specific sections of the Interlibrary Loan Code for the United States, providing fuller explanation and specific examples for text that is intentionally general and prescriptive. Topical headings refer to the equivalent sections in the Code. Libraries are expected to comply with the Code, using this Supplement as a source for general direction.

Introduction

The U.S. Interlibrary Loan Code, first published in 1917 and adopted by The American Library Association in 1919, is designed to provide a code of behavior for requesting and supplying material within the United States. The code is intended to be adopted voluntarily by U.S. libraries and is not enforced by an oversight body. However, as indicated below, supplying libraries may suspend service to requesting libraries that fail to comply with the provisions of this code.
Effectiveness of the national interlibrary loan system depends upon the **voluntary participation** of all libraries.

There is no:
ILL Code provides guidance when no other individual, consortial, state, or regional agreement applies.

Sample ILL agreements:
Revising the ILL Code and Supplement

• Reviewed and updated every 7 years per ALA RUSA guidelines

• Revised by the Codes, Guidelines, & Technical Standards Committee of RUSA’s Sharing and Transforming Access to Resources Section (STARS)
Revising the ILL Code and Supplement

STARS Codes, Guidelines, & Tech Standards Committee (2015-2016)

- Brian Miller (Chair), The Ohio State University
- Tina Baich, Indiana University-Purdue University Indianapolis
- John Brunswick, Atlas Systems
- Nora Dethloff, University of Houston
- Margaret Ellingson, Emory University
- Sue Kaler, Massachusetts Library System
- Ryan Litsey, Texas Tech University
- Candice Townsend, Library of Congress

Also . . .

- Denise Forro, Michigan State University (2014-15)
Start of revision process:

- Planning begins (Jan 2014)
- Document markup begins (Aug 2014)
- 1st survey of ILL community (Oct 2014)
1st ILL Community Survey (October 2014)

- Our committee requested feedback regarding what revisions are needed to ILL Code and Supplement

- Survey sent to ILL-L, Workflowtoolkit-L, STARS-L

- Also distributed to the ALA Video Roundtable Community
October 2014 Survey Question

Q: What revisions, if any, would you like to propose to the ILL Code and its Supplement concerning:

- The Responsibilities of the Requesting Library?
- The Responsibilities of the Supplying Library?
A: Responsibilities of the Requesting Library

Top five themes (Code & Supplement) by survey respondents

- ILL items for single patron use
- Secure packaging, no staples
- Labels on borrowed materials
- Renewals
- CONTU guidelines vs. Fair Use
A: Responsibilities of the Supplying Library

Top five themes (Code & Supplement) by survey respondents

- Ship to correct location
- Renewals
- No fax or mail for copy requests
- Secure packaging
- Communication issues
October 2014 Survey Question

Q: Which definition of “due date’ do you prefer?

• **Current definition:**
  Due date = date item should be back at the **supplying library** (includes return shipping time)

• **Previous definition:**
  Due date = date item should be back at the **requesting library** (excludes shipping time)

• **No preference**
A: Majority prefer previous definition

Please indicate which definition of "due date" you prefer.

- **Current definition:** Due date = date item should be back at the supplying library, includes return shipping time: 41%
- **Previous definition:** Due date = date item should be back at the requesting library, excludes return shipping time: 54%
- **No preference:** 5%

No preference: 5%
Regarding DUE DATE . . .

Respondents wanting to exclude return shipping time:

a) Maximizes user time with item.
b) Difficult to predict shipping times which vary by library.
c) One due date for requesting library.
d) Grace periods common among supplying libraries.

Respondents wanting to include return shipping time:

a) Already encourages long loan periods with sufficient use and return time.
b) Overdue notices are sent from circulation system (not ILL system) on same schedule as for local patrons.
c) Not indicating when item due at supplying library “encourages laxness in ILL staff concerning returns.”
Revision Continues:

- Markup continues (Nov 2014–Apr 2015)
- Initial draft submitted to STARS and RUSA (June 2015)
- Draft and 2nd survey sent to ILL community (Sept-Nov 2015)
2\textsuperscript{nd} ILL Community Survey (Sept-Nov 2015)

• Draft of changes shared with ILL community and feedback requested

• Survey sent to ILL-L, Workflowtoolkit-L, STARS-L
Fall 2015 Survey Feedback

- Feedback on redefined due date is overwhelmingly positive by almost 6-to-1 ratio.

- Criticism regarding purpose of ILL for an individual’s “relatively short term use”.

- Criticism of ILL for locally checked out items.

- Many grammatical/punctuation changes for clarity.
Revision Concludes:

Final edits made  
(Dec 2015)

RUSA and STARS approval  
(Jan 2016)
Complete Timeline:

Planning begins (Jan 2014)

Document markup begins (Aug 2014)

1st survey of ILL community (Oct 2014)

Markup continues (Nov 2014–Apr 2015)

RUSA and STARS approval (Jan 2016)

Final edits (Dec 2015)

Draft and 2nd survey sent to ILL community (Sept-Nov 2015)

Draft submitted to STARS and RUSA (June 2015)
So in the ILL Code/Supplement . . .

What hasn’t changed?

and

What’s NEW?
Interlibrary Loan Code for the United States


Download ALA Interlibrary Loan Request Form (Fillable PDF).

The Interlibrary Loan Code below is accompanied by clarifying text from the Explanatory Supplement in the box insets. The supplementary material is intended to amplify specific sections of the official Code, providing fuller explanation and specific examples for text that is intentionally general and prescriptive. Libraries are expected to comply with the Code, using the Supplement as a source for general direction.

Introduction

The Reference and User Services Association, acting for the American Library Association in its adoption of this code, recognizes that the sharing of material between libraries is a core library service and believes it to be in the public interest to encourage such an exchange.

In the interest of providing quality service, libraries have an obligation to obtain material to meet the informational needs of users when local resources do not meet those needs. Interlibrary loan (ILL), a mechanism for obtaining material, is essential to the vitality of all libraries.

The effectiveness of the national interlibrary loan system depends upon participation of libraries of all types and sizes.

This code establishes principles that facilitate the requesting of material by a library and the provision of loans or copies in response to those requests.

2.0 Purpose

2.1 The purpose of interlibrary loan as defined by this code is to obtain, upon request of a library user, material not available in the user's local library. Interlibrary loan is primarily intended to provide a requesting individual with a physical loan of a defined duration or a non-returnable copy or scan from another library.

From the Explanatory Supplement:

Interlibrary loan (ILL) is intended to complement rather than to substitute for good library collections built and managed to meet the routine needs of local library users. ILL is based on a tradition of sharing resources between various types and sizes of libraries and the belief that no library, regardless of its size or budget, is completely self-sufficient. When policy and circumstances warrant, interlibrary loan may also be used to obtain materials that are owned by the local library but which are not available because they are damaged, missing, or checked out. Though some libraries are net borrowers (borrow more than they lend) and others are net lenders (lend more than they borrow), the system of interlibrary loan rests on the belief that all libraries have something to contribute and should be willing to lend if they are willing to borrow.

3.0 Scope

3.1 This code regulates the exchange of material between libraries in the United States.

From the Explanatory Supplement:

This interlibrary loan code describes the responsibilities of libraries to each other when requesting material for users.
NEW Printable PDF containing Code and Supplement

http://www.ala.org/rusa/sites/ala.org.rusa/files/content/sections/stars/resources/ILL_Code_with_Supplement.pdf
Purpose of Interlibrary Loan

• To obtain materials not available in a user’s local library

• **NEW (Code):** Primarily intended to provide a requesting individual with:
  
  • A physical loan of a defined duration, or
  
  • A non-returnable copy or scan

• **NEW (Suppl):** ILL may be used if local copy missing, damaged, or checked out when policy and circumstances warrant
Scope of ILL Code and Supplement

• Regulates exchange of material in the United States when no other agreement applies

• NEW: ILL with libraries in other countries is encouraged.
  • Governed by IFLA rather than the U.S. ILL Code.
  • International Resource Sharing and Document Delivery: Principles and Guidelines for procedure
Responsibilities of the Requesting Library
What hasn’t changed for Requesting Libraries in both ILL Code and Supplement

4.1 Make available a borrowing policy to your local users.
4.2 Ensure confidentiality of your user.
4.3 Provide a complete bibliographic citation when possible to supplying libraries.
4.5 Identify appropriate suppliers.
4.6 Unverified requests are OK to libraries likely to own.
4.7 Transmit requests electronically.
4.9 Assume responsibility for items borrowed.
4.11 Assume responsibility for user-initiated transactions.
4.12 Honor due date and usage restrictions.
4.14 Respond immediately to recalls.
4.15 Package to prevent damage/loss and comply with shipping instructions.
4.16 Breaches to Code may result in service suspension.
What’s **NEW** for Requesting Libraries?

4.1 (Suppl) Requesting libraries **no longer required to have paper copy of borrowing policy** at service desks.
What’s **NEW** for Requesting Libraries?

4.2 (Suppl) **Discourages sharing of names** with supplying library.
What’s **NEW** for Requesting Libraries?

4.4 (Code/Suppl) Requesting library must **specify any special requirements** (e.g. format, shipping address, special use).
What’s **NEW** for Requesting Libraries?

4.8 (Code/Suppl) Requesting library must **comply** with Copyright Law and **be aware** of related guidelines (e.g. CONTU).

For copyright reasons image is not available.
What’s **NEW** for Requesting Libraries?

4.9 (Suppl) **Never affix adhesive labels or tape** to items borrowed.
What's **NEW** for Requesting Libraries?

4.10 (Code/Suppl) **Pay promptly** any service, replacement, damage fees.
What’s **NEW** for Requesting Libraries?

4.12 (Code/Suppl) **Due date** is date material due to be checked in at requesting library for return to supplying library.
What’s **NEW** for Requesting Libraries?

4.13 (Code) Request a **renewal** before due date whenever possible.
What’s NEW for Requesting Libraries?

4.15 (Suppl) **Staples** are strongly discouraged.
What’s **NEW** for Requesting Libraries?

- Reference **retained** to *Guidelines for Interlibrary and Exhibition Loan of Special Collections Materials*
  - Supplement sections: 3.1, 4.15, 5.4
  - [http://www.ala.org/acrl/standards/specialcollections](http://www.ala.org/acrl/standards/specialcollections)

- References **removed** to outdated and retired guidelines for magnetic tape, microforms, A/Vs.
Responsibilities of the Supplying Library
What hasn’t changed for Supplying Libraries in both ILL Code and Supplement

5.1 Have a lending policy with contact info and a service schedule.
5.2 Ensure confidentiality of library user.
5.4 Lend as liberally as possible.
5.5 Process requests in a timely manner and state reason if unable to fill.
5.6 Send sufficient info to identify request when filling or communicating about a request.
5.8 Ship by fastest method possible, package to prevent loss/damage, and include a return address.
5.9 Respond promptly to renewal requests.
5.10 Loaned items may be recalled at any time.
5.11 Deliver copies electronically.
5.12 Supplier may suspend service for breaches to Code.
What’s **NEW** for Supplying Libraries?

5.1 (Suppl) *Generous loan periods* are encouraged.
5.3 (Code/Suppl) Encourages request fulfillment without fees. But if necessary, make available a fee schedule and bill promptly.
What’s **NEW** for Supplying Libraries?

5.4 (Code) Consider filling regardless of **format or collection** where housed.
5.4 (Suppl) Work with those negotiating licenses to include favorable ILL terms.
What’s **NEW** for **Supplying Libraries**?

5.4 (Suppl) Consult with requesting library before turning copy request into loan.
What’s **NEW** for **Supplying Libraries**?

5.5 (Suppl) Negotiate any **special loan terms, use restrictions, or shipping requirements** before updating request. Include instructions and due date with item.
5.7 (Code/Suppl) **Due date** is date material due to be checked in at requesting library for return to supplying library. Implement a **grace period** before sending overdue notices.
What’s **NEW** for Supplying Libraries?

5.11 (Suppl) Comply with **Copyright Law and licenses**.
What’s **NEW** for Supplying Libraries?

5.11 (Suppl) **Copies should closely reproduce the original** in appearance, legibility, and completeness with attention paid to image color, clarity, margins, page orientation, and accompanying references, plates, or appendices.
ALA ILL Request Form
Former ALA ILL Request Form
**New ALA ILL Request Form (Fillable PDF)**

http://www.ala.org/rusa/sites/ala.org.rusa/files/content/sections/stars/resources/ALA_ILL_Request_Form.pdf

**ALA Interlibrary Loan Request Form**

<table>
<thead>
<tr>
<th>Request Date:</th>
<th>Max cost:</th>
<th>$</th>
</tr>
</thead>
<tbody>
<tr>
<td>Request Number:</td>
<td>Need by:</td>
<td></td>
</tr>
</tbody>
</table>

**Requesting Library Name and Address:**

<table>
<thead>
<tr>
<th>E-Mail:</th>
<th>Phone:</th>
</tr>
</thead>
</table>

**For Use by Supplying Library**

<table>
<thead>
<tr>
<th>Date Shipped:</th>
<th>Shipped via:</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>Due Date:</th>
<th></th>
</tr>
</thead>
</table>

| Cost: | $ |

**Restrictions:**

- [ ] Library Use Only
- [ ] No renewals
- [ ] Copying not permitted
- [ ] Return insured for: $ |

**Packing/shipping requirements:**

<table>
<thead>
<tr>
<th>Other:</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>Not supplied due to:</th>
</tr>
</thead>
</table>

- [ ] At bindery
- [ ] Lacking vol/issue
- [ ] Not owned
- [ ] Non-circulating
- [ ] Poor condition
- [ ] Policy or license
- [ ] Not on shelf
- [ ] Charge exceeds limit
- [ ] Not found as cited
- [ ] In process/On order

<table>
<thead>
<tr>
<th>Other reason:</th>
</tr>
</thead>
</table>

<table>
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<tr>
<th>Notes:</th>
</tr>
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<table>
<thead>
<tr>
<th>Renewals</th>
</tr>
</thead>
</table>

| Date Requested: | |

| New Due Date: | |

**Request for:**

- [ ] Loan: title, author
- [ ] Copy: journal/book title, article/chapter title, author

**Year/Edition**

<table>
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<tr>
<th>Volume</th>
<th>Issue</th>
<th>Pages</th>
<th>ISBN/ISSN</th>
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</table>

**Request complies with:**

- [ ] 108 (g) (2) Guidelines (CCG)
- [ ] Other provisions of copyright law (CCL)

**Supplying Library Name and Address:**

<table>
<thead>
<tr>
<th>E-Mail:</th>
<th>Phone:</th>
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</table>
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The ALA RUSA STARS Codes, Guidelines, and Technical Standards Committee wishes to thank

OCLC

for providing logistical and technical assistance for this free webinar and recording. Thank you!